

IN THE CLAIMS

This listing of the claims replaces all prior versions:

1. (Currently Amended) An apparatus for ~~the synchronization, integration and association of~~ detecting misconduct related to a financially-related captured interactions ~~associated with at least one transaction~~ associated with an organization, the apparatus comprising:
 - ~~an at least one first media type a~~ capturing device for capturing an ~~at least one an~~ interaction containing audio;
 - a transaction receiving device for receiving a transaction;
 - ~~an at least one second media type capturing device for capturing an~~ at least one second interaction;
 - ~~a time synchronizing device to synchronize the at least one first interaction captured by the at least one first media type capturing device with the at least one second interaction captured by the at least one second media type capturing device~~;
 - ~~an integration device to integrate the at least one first interaction with the at least one second interaction into an at least one integrated interaction~~;
 - ~~an association device to associate the at least one integrated interaction with the at least one transaction~~;
 - ~~[[an]] at least one recording and logging device for storing the at least first interaction, and the transaction in an organization database at least one second interaction~~;
 - ~~an at least one interaction retrieval device for retrieving the at least one first interaction and, the transaction from the organization database; at least one second interaction, and the at least one integrated interaction recorded by the recording and logging device; and~~

an audio content analysis device for performing audio content analysis on the interaction and detecting a predetermined word or sentence mentioned in the interaction;

a transaction analysis device for analyzing the transaction and detecting a suspicious transaction; and

a business analysis module for identifying misconduct associated with the organization, based on the predetermined word or sentence and the suspicious transaction.

~~an at least one interaction playback device to playback the at least one first interaction, the at least one second interaction or the at least one integrated interaction retrieved by the at least one interaction retrieval device;~~

~~wherein the at least one first interaction and the at least one second interaction are captured from separate communication channels; and~~

wherein said ~~first media type~~ capturing device is selected from the group consisting of: a telephone, a fax, an e-mail server, an analog video camera, a digital video camera, an analog audio microphone, and a digital audio microphone.

2-6 (Cancelled)

7. (Currently Amended) The apparatus of claim 1 further comprising a secure access device to provide for secure, controlled and limited access to the ~~at least one first interaction and the transaction, to the at least one second interaction and to the at least one integrated interaction.~~

8. (Cancelled)

9. (Currently Amended) The apparatus for claim 1 further comprising:
a database for storing the at least one first interaction and

~~the at least one second interaction, and~~

~~a database for storing meta-data related to the to provide the ability to
retrieve the at least one integrated interaction.~~

10-12. (Cancelled)

13. (Currently Amended) The apparatus of claim 1 further comprising a content speech analysis module for detecting voice characteristics within to analyze the content of the at least one first interaction, ~~the content of the at least one second interaction and the content of the at least one integrated interaction;~~ and

~~at least one knowledge database for storing information associated with the at least one first interaction or with the at least one second interaction or with the at least one integrated interaction.~~

14. (Cancelled)

15. (Currently Amended) The apparatus ~~for~~ of claim 1 further comprising a notification message-generating device for generating a notification message associated with the at least one first interaction or with the at least one second interaction or with the at least one integrated interaction, the notification message being associated with misconduct, dispute resolution, or with a request for playback.

16-18. (Cancelled)

19. (Currently Amended) The apparatus of claim 1 further comprising:
~~a business analysis device to collect and analyze business performance and information;~~

a monitoring device to monitor in real-time the content of the ~~at least one first interaction or the at least one second interaction~~;

an evaluation device to evaluate the performance or level of service of a representative; and

a surveillance device to detect and monitor a behavior pattern of the representative.

20-24. (Cancelled)

25. (Currently Amended) The apparatus of claim 7 wherein the secure access to the ~~at least one first interaction, the at least one second interaction and the at least one integrated interaction~~ is based on password-protected permission granting process, wherein the secure access is a password and time based access.

26-27. (Cancelled)

28. (Currently Amended) The apparatus of claim 1 wherein the ~~at least one first interaction, the at least one second interaction and the at least one integrated interaction~~ represent an at least one interaction is between at least two parties.

29. (Previously Presented) The apparatus of claim 19 wherein the monitoring device, the surveillance device, and the business analysis device provide information in real time or off line.

30. (Original) The apparatus of claim 1 further comprising an automatic scheduler device for the automatic selection of interactions to be monitored, analyzed and evaluated.

31. (Currently Amended) The apparatus of claim 1 wherein the ~~at least one first interaction or the at least one second interaction~~ is an audio or video interaction ~~or a data exchange or data capture interaction~~.
32. (Cancelled)
33. (Currently Amended) A method for identifying code of conduct non-compliance related to a ~~the synchronization, integration and association of financially related captured interactions associated with an at least one transaction associated with an organization~~, the method comprising:
- ~~capturing an at least one first interaction~~ containing audio by a first an interaction capturing device;
 - ~~capturing an at least one second interaction~~ a transaction by a transaction ~~by a second interaction capturing device~~;
 - ~~synchronizing the at least one first interaction with the at least one second interaction~~;
 - ~~integrating the at least one first interaction and the at least one second interaction into an at least one integrated interaction~~;
 - storing the interaction, and the transaction in a database;
 - ~~associating the at least one integrated interaction with an at least one~~ the transaction;
 - ~~recording and logging the at least one first interaction and the at least one second interaction by an at least one recording and logging device~~;
 - ~~retrieving the at least one first interaction and the at least one second interaction~~ transaction from the database;
 - performing audio content analysis on the interaction as retrieved from the database for detecting a predetermined word or sentence mentioned in the interaction;
 - analyzing the transaction for detecting a suspicious transaction; and

identifying misconduct associated with the organization, based on the predetermined word or sentence and the suspicious transaction,

generating the at least one integrated interaction from the retrieved at least one first and second interaction; and

playing back the at least one first interaction, the at least one second interaction, or the at least one integrated interaction by a playback device,

wherein the at least one first interaction and the at least one second interaction are captured from separate communication channels wherein said first interaction capturing device is selected from the group consisting of: a telephone, a fax, an e-mail server, an analog video camera, a digital video camera, an analog audio microphone, and a digital audio microphone.

34-38. (Cancelled)

39. (Currently Amended) The method of claim 33 further comprising the step of setting up the operating parameters of the method and adaptively calibrating the operative parameters.

40-43. (Cancelled)

44. (Currently Amended) The method of claim 40 33 wherein the step of analyzing the at least one transaction and the associated at least one integrated interaction is associated with a dispute.

45. (Currently Amended) The method of claim 40 33 wherein the step of analyzing provides for regulatory compliance or for quality management.

46. (Cancelled)

47. (Currently Amended) The method of claim 33 further comprising:
the step of monitoring in real-time the content of the ~~at least one first interaction, the at least one second interaction, and the at least one integrated interaction~~ for the detection of malpractice; and
the step of automatically scheduling and automatic selection of the ~~at least one first interaction or the at least one second interaction or the at least one integrated interaction~~ to be monitored, analyzed and evaluated.
- 48-50. (Cancelled)
51. (Currently Amended) The method of claim 33 wherein the ~~at least one first interaction and the at least one second interaction are~~ is identified by a unique point-in-time based interaction identifier.
- 53-54. (Cancelled)
55. (Currently Amended) The apparatus of claim 1 ~~wherein the at least one first interaction or the at least one second interaction constitute~~ wherein the transaction is captured through capturing screen events occurring on a screen used by a trader.
56. (Currently Amended) The method of claim 33 wherein the ~~at least one first interaction or the at least one second interaction constitute~~ transaction is captured through screen events occurring on a screen used by a trader.
57. (New) The apparatus of claim 1 further comprising a time synchronizing device for synchronizing the interaction with a second interaction associated with the transaction.
58. (New) The method of claim 33 further comprising:

capturing a second interaction associated with the transaction; and
time-synchronizing the interaction with the second interaction.

59. (New) The apparatus of claim 1 wherein the misconduct relates to fraudulent behavior.
60. (New) The method of claim 33 wherein the misconduct relates to fraudulent behavior.